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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Andrew C. Gilbert et al.  
Application No. : 09/851,848  
Confirmation No. : 3671  
Filed : May 9, 2001  
For : SYSTEMS AND METHODS FOR  
CONTROLLING TRADERS FROM  
MANIPULATING ELECTRONIC TRADING  
MARKETS  
Group Art Unit : 3624  
Examiner : Hanim Kazimi..

New York, New York 10020  
March 20, 2003

Hon. Commissioner for Patents  
P. O. Box 2327  
Arlington, Virginia 22202

TRANSMITTAL LETTER FOR SUPPLEMENTAL  
INFORMATION DISCLOSURE STATEMENT

Sir:

Transmitted herewith is a Supplemental  
Information Disclosure Statement in the above-identified  
application. This Statement is submitted:

[ ] within three months of the application  
filing date;

[x] more than three months from the  
application filing date but before the  
mailing date of the first Office Action on  
the merits.

In accordance with 37 C.F.R. § 1.97, submission  
of this Statement requires no fee. However, if for any  
reason a fee is due, the Director is hereby authorized to  
charge payment of any fees required in connection with

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this Supplemental Information Disclosure Statement to  
Deposit Account No. 06-1075. A duplicate copy of this  
letter is transmitted herewith.

Respectfully submitted,

Evelyn C. Mak

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Clarie J. Saint-van Goodman

Clarie J. Saint-van Goodman  
Signature of Person Signing

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New York, New York 10020  
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 Arlington, Virginia 22202

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §§ 1.56 and 1.97,  
 applicants hereby make the following documents of record  
 in the above-identified patent application:

U.S. Patent Document

Alaia et al. 6,199,050 B1 03/06/01

U.S. Patent Application Publications

Yeo	US 2001/0037279 A1	11/01/01
Gilbert	US 2002/0073014 A1	06/13/02

Foreign Document

Takahashi et al. JP 358161068 A 09/24/83

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Copies of the aforementioned documents, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), are enclosed herewith.

The information contained in this Supplemental Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement. In particular, these references were cited in the February 25, 2003 International Search Report on applicants' corresponding Patent Cooperation Treaty application PCT/US02/14825. A copy of that Search Report is enclosed herewith.

It is respectfully requested that these documents be (1) fully considered by the Patent and Trademark Office during the examination of this application; and (2) printed on any patent which may issue on this application. Applicants request that a copy of Form PTO-1449, as considered and initialed by the Examiner, be returned with the next communication.

Consideration of the foregoing in relation to  
this patent application is respectfully requested.

Respectfully submitted,

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Parmane  
Signature of Person Signing

FORM PTO-1449 MAR 25 2003 PATENT & TRADEMARK OFFICE	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. CF/033	SERIAL NO. 09/851,848
	INFORMATION DISCLOSURE STATEMENT BY APPLICANT	APPLICANT Andrew C. Gilbert et al.	CONFIRMATION NO. 3671
		FILING DATE May 9, 2001	GROUP ART 3624

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	6.199.050 B1	03/06/01	Alaia et al.	705	37	

U.S. PATENT APPLICATION PUBLICATIONS

37 05/15/01  
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## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	JP 358161068	09/24/83	Japan	G06F	15/21	X*	

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

EXAMINER INITIAL	

\*A translation of the Abstract is enclosed.

EXAMINER

**DATE CONSIDERED**

**EXAMINER:** Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.